

9/26/2013

## Best Practices: Risk Assessment and Community Supervision

Presentation to the Joint Judiciary Committees  
Colorado State Legislature  
September 26, 2013

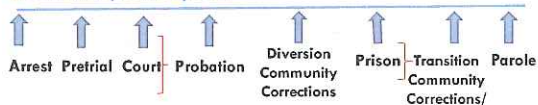
Kim English, Research Director  
Division of Criminal Justice  
Department of Public Safety

## Outline of presentation

- A few definitions
- Overview of evidence-based correctional practices (EBP) and principles
- Risk and needs assessment—the engine that drives EBP
- Community supervision: Paradigm shift
- Training is KEY
- Quality assurance mechanisms are critical
- Summary

## A few definitions

### □ Criminal justice system



### □ Risk...of reoffense as determined by an actuarial risk scale

- Places individuals in a GROUP that has specific probability of reoffense as measured by arrest/conviction
- Group data informs individual assessments of risk

## A few definitions

- **Case management** ....Supervision/treatment delivery plan; should be individualized and regularly updated
- **Program fidelity**....Is the program/initiative doing what it was intended to do?
  - Requires research and evaluation
- **EBP**...Evidence based correctional practices
- **CBT**... Cognitive Behavioral Therapy
  - Thoughts → Feelings → Behavior
- **Recidivism reduction** ...the goal of EBP and EVERYONE'S job!

## "What works" in Offender Treatment and Rehabilitation

- Over the past 30+ years, growing body of research that defines "what works" to reduce recidivism
- Come to be known as "Principles of Effective Correctional Intervention"
- These principles are "evidence-based" – that is, supported by the results of many controlled studies
- Science tells us "who," "what," "how," and even "how well"– and why adherence to certain practices is necessary to achieve reductions in recidivism

"What works in corrections" is not a program or a single intervention but rather a body of knowledge that is accessible to criminal justice professionals.

-- Latessa and Lowenkamp (2006)

Latessa, E. J. and Lowenkamp, C. (2006). What works in reducing recidivism? University of St. Thomas Law Journal 521-525.

## Eight principles of EBP

1. Assess each defendant's actuarial risk and criminogenic needs
2. Enhance the offender's intrinsic motivation to change
3. Target programming to criminogenic needs and the highest risk offenders (consider risk/needs/responsivity)
4. Build staff skills to implement EBP
5. Deliver treatment programs using cognitive-based strategies
6. Increase positive reinforcements to influence pro-social behavior
7. Engage ongoing support: involve family members and community programs
8. Identify outcomes and measure progress

## EBP and Offender Assessment

### Risk and need assessment is the first step in achieving evidence-based practices

- The Level of Supervision Inventory (LSI) is the most commonly used assessment tool
- Adult Substance Use Survey-r (ASUS-r)
- Colorado Criminal Justice Mental Health Screen for Adults (CCJMHS-A)
- Parole Board uses Colorado Actuarial Risk Assessment Scale (CARAS) in making release decisions
- A few jurisdictions are using the Colorado Pretrial Assessment Tool (CPAT)

## Level of Supervision Inventory: Risk and Needs

- 54-item instrument that targets risk factors and criminogenic needs
- At least 47 studies conducted on the predictive validity of the LSI
- Valid predictor across age, gender, correctional placement (i.e., prisons, jails, juvenile detention, and community corrections), location (i.e., U.S. and other countries), and outcome measures

Vose, Cullen, Smith (2009). The Empirical Status of the Level of Service Inventory. Federal Probation 72(3): p. 22

## Criminogenic Needs

### Average Coefficients

Red = .20  
Orange = .10  
Yellow = .05

Antisocial Attitudes

HX Antisocial Behavior

Antisocial Peers

Criminal Personality Makeup

Dysfunctional Family Relations

Substance Abuse

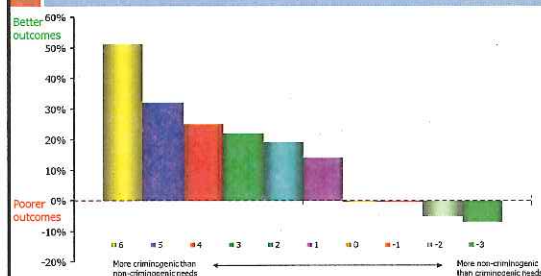
School/Work

Leisure/Recreation

10

Andrews and Bonta, 2006

## Recidivism Reductions as a Function of Targeting Multiple Criminogenic vs. Non-Criminogenic Needs

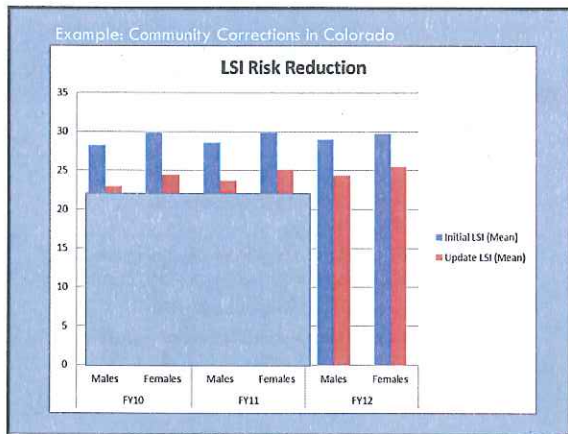


Andrews, Dowden, & Gendreau, 1999; Dowden, 1998

## Residential community corrections (FY10-11, n=9,443)

- 50% had antisocial attitudes
- 40% had problems with antisocial peers
- 78% needed substance abuse treatment
- 75% had emotional problems
- 35% had problems with leisure time





## Principles of Effective Intervention

### THREE MAIN PRINCIPLES

- ☐ Risk
- ☐ Need
- ☐ Responsivity

## EBP: RNR Principles

- ☐ **Target Interventions**
  - ☐ **Treatment Principle** - Integrate treatment into full sentence/sanctions requirements to reduce recidivism
  - ☐ **Risk Principle** - Prioritize supervision and treatment resources for higher risk offenders
    - Low risk offenders do WORSE with intensive interventions
  - ☐ **Need Principle** - Target interventions to criminogenic needs
  - ☐ **Responsivity Principle** - Be responsive to temperament, learning style, motivation, gender, age, and culture when assigning to programs
  - ☐ **Dosage** - Structure 40% to 70% of high-risk offenders' time for 3 to 9 months
    - NEED 200+ HOURS of clinical services related to criminogenic needs for high risk offenders!! High risk/High need = 300+ hours
    - NEED about 100 hours for medium risk offenders (Latessa, May 2013)

Andrews and Bonta, 2006

## Responsivity Factors

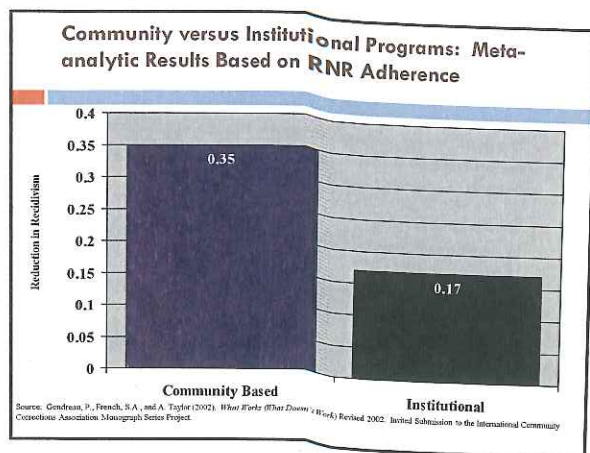
- ☐ **Offender Characteristics:**
  - ☐ Motivation
  - ☐ Learning Style
  - ☐ Gender
  - ☐ Age
  - ☐ Culture
- ☐ **Other Considerations:**
  - ☐ Anxiety
  - ☐ Depression
  - ☐ Mental Illness
  - ☐ Intelligence

Source: Mark Cliney, The Cliney Group

## Three Kinds of Responsivity

- ☐ Offender character traits
- ☐ Staff character traits
- ☐ Program components

**Matching is the key**





## EBP: Use CBT to address criminogenic needs



1. Identify with the client the link between thoughts and behavior
2. Help client identify personal thinking patterns that cause problem behaviors
3. Teach client concrete thinking & behavioral skills
4. Facilitate client's practice and generalization of skills

Bourgon, Gutierrez, Ashton, 2011:36

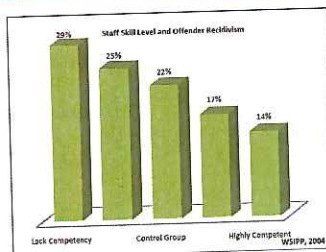
## EBP: Staff Skills

To provide EBP that emphasizes cognitive-behavioral strategies....

- Staff must be well trained to understand antisocial thinking, social learning, and appropriate communication techniques.
- Skills must be taught to train offenders, and then **ROLE PLAYING** and **PRACTICING** between staff/clients is key.
- Staff must role model pro-social behavior.
- Staff should reward pro-social behavior—positive reinforcement—at a 4:1 ratio.



## EBP: More about staff skills



Mark Carey and Madeline Carter (2010). Coaching Packer: Shaping Offender Behavior. The Carney Group/Center for Effective Public Policy/Bureau of Justice Assistance.

## Five Dimensions of Effective Correctional Treatment

Five Dimensions of Effective Correctional Treatment	
Effective use of authority	<ul style="list-style-type: none"> <li>Firm but fair approach</li> <li>Make rules clear, visible, understandable</li> <li>Compliance through positive reinforcement</li> <li>Keep focus of message on behavior, not person</li> <li>Use of normal voice</li> <li>Give choices with consequences</li> <li>Guide offender toward compliance</li> </ul>
Modeling and reinforcing pro-social attitudes	<ul style="list-style-type: none"> <li>Positive/negative reinforcement</li> <li>Model and reinforce pro-social behavior in concrete and vivid way</li> <li>Immediate feedback on why behavior is approved/disapproved</li> <li>Offender encouraged to think about why certain behavior is desirable</li> <li>Role playing with increasingly difficult scenarios</li> </ul>
Teaching concrete problem solving skills	<ul style="list-style-type: none"> <li>Engage offender in solutions that increase satisfaction and rewards for non-criminal pursuits</li> <li>Help offender develop a plan, clarify goals, generate options/alternatives, evaluate options</li> </ul>
Advocacy/brokerage of community resources	<ul style="list-style-type: none"> <li>Arrange the most appropriate correctional service</li> <li>Speak on behalf of client at home, school, work or other</li> </ul>
Relationship factors	<ul style="list-style-type: none"> <li>Open, warm, genuine, and enthusiastic communication</li> <li>Self-confident</li> <li>Empathetic</li> <li>Flexible</li> <li>Mutual respect and liking</li> <li>Directive, solution focused, structured, non-blaming</li> </ul>

Mark Carey and Madeline Carter (2010). Coaching Packer: Shaping Offender Behavior. The Carney Group/Center for Effective Public Policy/Bureau of Justice Assistance.

## Paradigm shift in supervision

- The most current research suggests that the **RELATIONSHIP** with the officer and **WHAT IS DISCUSSED** is extremely important in the outcome of the case
- Relationship Quality
  - Caring and fairness, trust, and authoritative (not authoritarian) style
  - "Relational justice"
  - Negotiation and participatory decision-making
  - Active listening, problem solving, and directive supervision
- Makes for a dual role: Care (rehabilitation) and Control (rule compliance and public safety)

Skene, Eric Louder, Poloschek, & Camp, 2007

## Paradigm shift in supervision

### Traditional Supervision

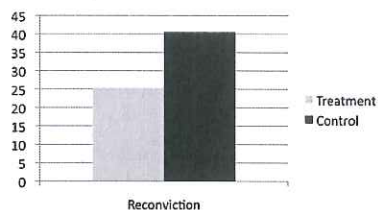
- Relationship is authoritarian
- Conduct surveillance
- Face-to-face time spent reviewing conditions of supervision
  - Completing community service
  - UA testing
  - Refer to treatment program
- "Change work" is the domain of service providers; NOT responsible for facilitating change

### Research-informed supervision

- Relationship with client is key
- Criminogenic needs/risk
- Removing barriers to treatment
- Connecting client with services
- Face-to-face time spent:
  - Problem solving regarding compliance
  - Engaging the offender in the change process
  - Assisting, motivating, directing, guiding, supporting defendant
- Firm but fair
- Practice CBT
  - Homework
  - Role playing
- Approach is individualized
- Officer considered "change agent"

Bourgon, Gutierrez, Ashton, 2011

## Two Year Recidivism Results from Bonta et al. (2010)



Bonta et al. (2010) *The Strategic Training Initiative in Community Supervision: Risk-Need-Responsivity in the Real World*. Public Safety Canada.

## Paradigm shift in supervision

- Officers are asked to take on a more direct role in the therapeutic change process. This new role requires gaining
  - New skills
  - New abilities
  - New knowledge
  - More resources
- Training is ongoing in an EBP environment
- Staff performance on assessments, case plans, relationship skills and supervision practices become a factor in performance appraisals



Bourgon, Gutierrez, Ashton, 2011

## Paradigm shift in supervision

- Social learning research now informs correctional best practice
  - Positive behaviors can be learned with practice
- Movement away from "get tough"/punishment approach to **Change Agent**
  - Based on research on human behavior and punishment: punishment doesn't work very well
    - To be successful, many conditions must be met
      - Immediate/consistent every time behavior occurs

Bourgon, Gutierrez and Ashton (2011). The Evolution of Community Supervision Practice: The Transformation from Case Manager to Change Agent. *Irish Probation Journal*, V, 8.

## Paradigm shift in supervision

- **Meta-analysis:** Not a single study on the effects of official punishment alone (custody, mandatory arrests, increased surveillance, etc.) has found consistent evidence of reduced recidivism.
- **Meta-analysis:** Studies on correctional treatment report 40%-60% reductions in recidivism rates relative to various comparison conditions, in every published review.
- Treatment in the community (including reentry following confinement) has been consistently associated with greater reductions in recidivism compared to secure confinement alone.
- **Treatment/rehabilitation is necessary to maximize public safety**

Andrews and Bonta, 2006

## EBP: Effective programs have certain characteristics

- Are based on research & sound theory
- Have leadership
- Assess offenders using risk & need assessment instruments
- Target crime producing behaviors
- Use effective treatment models (CBT)
- Vary treatment & services based on risk, needs, & responsivity factors
- Disrupt criminal networks
- Have qualified, experienced, dedicated & educated staff
- Evaluate what they do
- Are stable & have sufficient resources & support

Ed Lalessa, May 2013 Colorado Collaborative Justice Conference

## EBP: Implementation Considerations

## Factors that influence implementation:

- Organizational culture
- Staff attitudes and orientation
- Staff selection, training, and competence
- Poor monitoring/feedback to staff
- Lack of evaluator involvement
- Clinical supervision of staff

"The rehabilitation treatments generally found effective in research do not characterize current correctional practice and bridging between research and practice remains a significant challenge."

— Lipsey, M. W. and Cullen, F. T. (2007)

## Conclusions

- ▣ **Offender risk/needs assessment**
  - ▣ Is an essential component for achieving EBP
  - ▣ Is the engine that drives effective programming-- helps you know who & what to target
- ▣ **RNR—Risk/Needs/Responsivity is at the core of reducing recidivism**
- ▣ **Relationships matter!**
  - ▣ And the content of the conversation matters
- ▣ **Program fidelity matters (evaluation research is important)**
- ▣ **Training is continuous given the demands of officers in an EBP environment**

Thank you for your time today